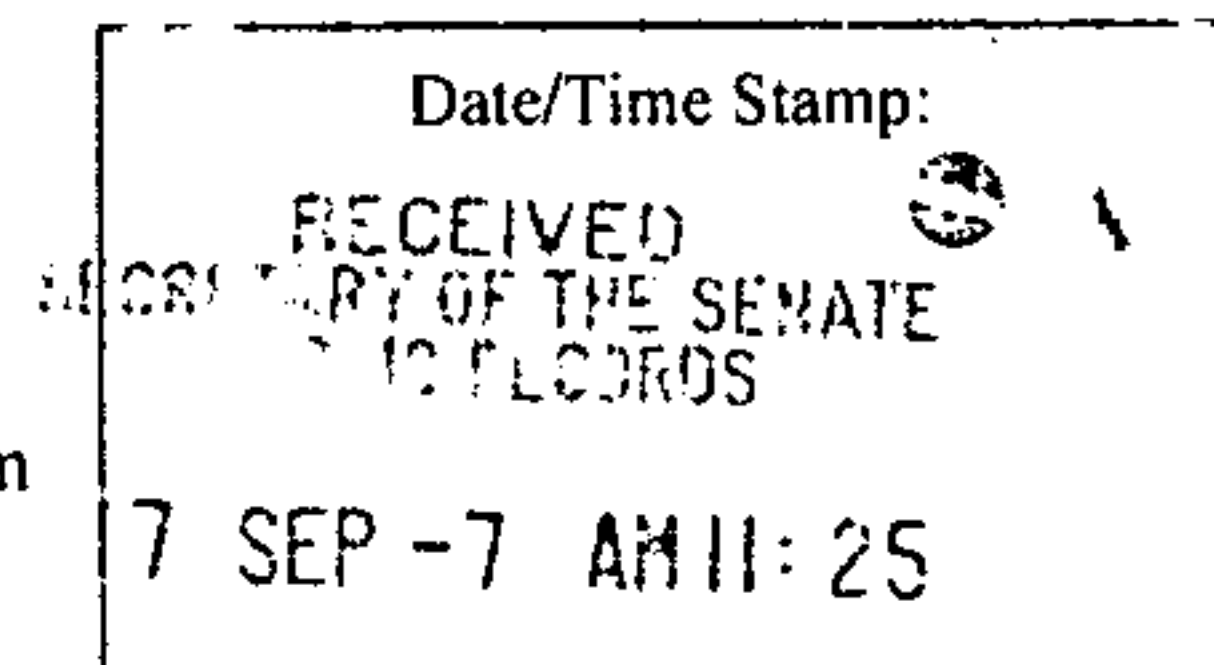


# Employee Post-Travel Disclosure of Travel Expenses

**Post-Travel Filing Instructions:** Complete this form within 30 days of returning from travel. Submit all forms to the **Office of Public Records in 232 Hart Building.**



In compliance with Rule 35.2(a) and (c), I make the following disclosures with respect to travel expenses that have been or will be reimbursed/paid for me. I also certify that I have attached:

- ☐ The original *Employee Pre-Travel Authorization* (Form RE-1), **AND**  
☐ A copy of the *Private Sponsor Travel Certification Form* with all attachments (itinerary, invitee list, etc.)

Private Sponsor(s) (list all): The Aspen Institute is the sole sponsor of the retreat. The organization has received grant funding from the Bill & Melinda Gates Foundation to support the Network but the Institute is solely responsible for the development and execution of the convening.

Travel date(s): August 28-29, 2017

Name of accompanying family member (if any): \_\_\_\_\_

Relationship to Traveler: ☐ Spouse ☐ Child

IF THE COST OF LODGING DID NOT INCREASE DUE TO THE ACCOMPANYING SPOUSE OR DEPENDENT CHILD, ONLY INCLUDE LODGING COSTS IN EMPLOYEE EXPENSES. (Attach additional pages if necessary.)

## Expenses for Employee:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input checked="" type="checkbox"/> Good Faith Estimate <input type="checkbox"/> Actual Amount	\$500.00	\$134.00	\$103.50	\$173.14

## Expenses for Accompanying Spouse or Dependent Child (if applicable):

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input type="checkbox"/> Good Faith Estimate <input type="checkbox"/> Actual Amount				

Provide a description of all meetings and events attended. See Senate Rule 35.2(c)(6). (Attach additional pages if necessary.):

Day 1: Discussions with academic researchers on recent trends in economic mobility and new evidence on programs to increase mobility from poverty and site visit with Cleveland service providers: Cleveland Metropolitan School District, The Centers for Families and Children, and Towards Employment

Day 2: Discussions, reflecting on site visit; responding to changing labor markets; learning about the role of families; considering place-conscious strategies and hearing perspectives from state and local officials.

9-5-17  
(Date)

LIVIA LAM  
(Printed name of traveler)

(Signature of traveler)

TO BE COMPLETED BY SUPERVISING MEMBER/OFFICER:

I have made a determination that the expenses set out above in connections with travel described in the *Employee Pre-Travel Authorization* form, are necessary transportation, lodging, and related expenses as defined in Rule 35.

9-5-17  
(Date)

(Signature of Supervising Senator/Officer)

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July 14, 2017

Dear Senate Colleague,

We are writing to invite you to participate in an upcoming retreat – ***"Mobility from Poverty: Recent Trends and Potential Responses"*** – for the Aspen Senior Congressional Staff Network on Mobility from Poverty beginning **11:30 AM Monday, August 28, 2017** through **4:15 PM Tuesday, August 29, 2017** at the Hilton Cleveland Downtown in Cleveland, Ohio.

At this convening, staffers will hear from researchers and practitioners how economic mobility has changed over time, and how neighborhood characteristics can influence economic mobility and intergenerational poverty. Staffers will learn about recent evidence on the effectiveness of interventions designed to increase mobility from poverty, including interventions that address the role of family, the role of place, and the changing structure of labor markets. The convening also will focus on potential roles for Congress and the executive branch in increasing mobility from poverty. Finally, the retreat will provide an opportunity for staffers to engage in their own learning and build working relationships with colleagues from different parties and chambers and with leading experts in the field.

We fully comply with the rules that have been enacted by the Senate regarding privately-funded travel. Enclosed you will find all the forms necessary for Ethics rules compliance:

- A detailed agenda listing discussion sessions
- A completed Private Sponsor Travel Certification form with appendix
- A list of invited staffers
- A blank Employee Pre-Travel Authorization form

**You must complete the Employee Pre-Travel Authorization Form and submit it with the enclosed agenda, list of invited staffers, and Private Sponsor Travel Certification form directly to the Senate Ethics Committee (220 Hart) no later than Monday, July 28, 2017.** After receiving the completed travel package, the Ethics Committee will review and issue an approval to you or your sponsoring Member. After the trip, you will need to complete a post-travel form that we will email to you after the retreat.

Attendance is by invitation only, with no outside observers or lobbyists. Funding is provided solely by grants from established foundations – no government, individual, foreign, corporate, or special interest money is accepted. The Network is supported by The Bill & Melinda Gates Foundation. The Aspen Education & Society Program maintains autonomy over invitations, materials, and the agenda for the retreat.

The retreat will begin at **11:30 AM on Monday, August 28, 2017**, at the Cleveland Downtown Hilton and will conclude at **4:15 PM on Tuesday, August 29, 2017**. Please plan your travel accordingly in order to be present for the duration of the retreat. Dress is casual for all meetings.

The retreat promises to be productive and informative. We look forward to seeing you there.

Warm regards,

Ross Wiener

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**Aspen Retreat for Senior Congressional Staff Network  
on Mobility from Poverty**

*Mobility from Poverty: Recent Trends and Potential Responses*

Hilton Cleveland Downtown  
100 Lakeside Avenue E  
Cleveland, OH

August 28-29, 2017

<b>SENATE CONGRESSIONAL STAFF</b>
-----------------------------------

**Beth Cooper**  
Minority Professional Staff  
Senate Committee on Banking, Housing, and Urban  
Affairs  
[beth\\_cooper@banking.senate.gov](mailto:beth_cooper@banking.senate.gov)

**Becky Shipp**  
Majority Health Policy Advisor  
Senate Committee on Finance  
[becky\\_shipp@finance.senate.gov](mailto:becky_shipp@finance.senate.gov)

**Livia Lam**  
Legislative Director  
Senator Patty Murray  
[livia\\_lam@murray.senate.gov](mailto:livia_lam@murray.senate.gov)

## Aspen Retreat for Senior Congressional Staff Network on Mobility from Poverty

### *Mobility from Poverty: Recent Trends and Potential Responses*

Hilton Cleveland Downtown  
Center Street Meeting Rooms, 3<sup>rd</sup> Floor  
100 Lakeside Ave E  
Cleveland, OH 44114  
P: 216-413-5000

August 28-29, 2017

<b>AGENDA</b>
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#### Retreat Goals:

Understand how economic mobility has changed over time and learn how neighborhood characteristics can influence economic mobility and intergenerational poverty.

- Understand recent evidence on the effectiveness of interventions designed to increase mobility from poverty, including interventions that address the role of family, the role of place, and the changing structure of labor markets.

Engage in active learning and build working relationships with scholars and practitioners in the field, with state and local officials, and with colleagues from different parties and chambers.

Explore potential roles for Congress and Executive Branch agencies in increasing mobility from poverty.

#### Monday, August 28, 2017

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11:00 – 11:30 AM	Arrival and registration (some participants will need to arrive Sunday evening to be present at start of retreat)
11:30 – 12:00 PM	Welcome, Overview, and Retreat Objectives  Ross Wiener, Vice President and Executive Director, Aspen Institute Education & Society Program
12:00 – 1:00 PM	<u>Lunch with Keynote Address on Economic Mobility</u>  Raj Chetty, Professor of Economics, Stanford University  <i>This address will review the most recent evidence on changes over time in absolute and relative income mobility, the effect of neighborhood characteristics on mobility from poverty, and potential policy responses to these trends.</i>
1:00 - 1:15 PM	Break

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**1:15 – 5:30 PM      Site Visit with Cleveland Service Providers**

**Eric Gordon**, *Chief Executive Officer, Cleveland Metropolitan School District*  
**Elizabeth Newman**, *President and CEO, The Centers for Families and Children*  
**Jill Rizika**, *Executive Director, Towards Employment*

*Visit with Cleveland service providers to learn how public and private stakeholders offer comprehensive services designed to build family self-sufficiency and increase mobility from poverty. Talk with residents about the challenges they face in achieving economic stability and helping their children succeed.*

**5:30 - 6:30 PM      Break**

**6:30 – 7:00 PM      Networking Reception with Expert Faculty**

*Staffers will have the opportunity to network with participants during the reception.*

**Faculty Participants:** Elisabeth Babcock, Bill Bynum, Raj Chetty, David Ellwood, Eric Gordon, Mark Joseph, Larry Katz, Peggy Lehner, Adam Looney, Nisha Patel, Greg Russ, Juan Salgado, Laura Tach

**7:00 – 8:30 PM      Dinner**

*Discussion of previous sessions and presentation on the US Partnership on Mobility from Poverty*

**David Ellwood**, *Isabelle and Scott Black Professor of Political Economy; Harvard University Distinguished Service Professor; Director, Malcolm Wiener Center for Social Policy*  
**Nisha Patel**, *Executive Director, US Partnership on Mobility from Poverty, Urban Institute*

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**Tuesday, August 29, 2017**

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**7:30 – 8:30 AM      Breakfast**

**8:30 – 9:15 AM      Reflection on site visit**

**Laura Tach**, *Assistant Professor of Policy Analysis and Management, Cornell University*

*Reflection on meetings with Cleveland residents and service providers. Discuss the extent to which challenges in Cleveland resemble challenges elsewhere in the country. Identify top two learning objectives for each participant.*

**9:15 – 10:30 AM      Responding to Changing Labor Markets**

**Lawrence (Larry) Katz**, *Elisabeth Allison Professor of Economics, Harvard University*  
**Juan Salgado**, *Chancellor, City Colleges of Chicago*

*Learn how changes in the labor market increase the challenge of mobility from poverty and consider potential policy responses, including better aligning education and sector-specific job training, wage subsidies, and other responses.*

**10:30 – 10:45 AM**

**Break**

**10:45 – 12:00 PM**

**The Role of Family**

**Elisabeth (Beth) Babcock**, *President and CEO, Economic Mobility Pathways*  
**Laura Tach**, *Assistant Professor, Cornell University*

*Learn about the effect of family formation on mobility from poverty and about programs designed to integrate more effectively various supports for both children and parents.*

**12:00 – 12:15 PM**

**Break**

**12:15 – 1:30 PM**

**Lunch with Discussion of Place-Conscious Strategies**

**William (Bill) Bynum**, *Chief Executive Officer and President, HOPE Enterprise Corporation*

**Mark Joseph**, *Leona Bevis/Marguerite Haynam Associate Professor in Community Development, Case Western University*

**Greg Russ**, *Executive Director, Minneapolis Public Housing Authority*

*Learn how narrowly-focused programs can be brought together into more effective comprehensive strategies to address mobility on a neighborhood and regional-wide scale. Discuss the benefits and challenges of building mixed-income neighborhoods, and the need to build complementary strategies that can improve existing neighborhoods while increasing geographic mobility for those who wish to move.*

**1:30 – 2:45 PM**

**Perspectives from State and Local officials**

**Armond Budish**, *County Executive, Cuyahoga County, Ohio*

**Eric Gordon**, *Chief Executive Officer, Cleveland Metropolitan School District*

**Peggy Lehner**, *Senator, Chair of the Education Committee, Vice-Chair of the Health and Human Services Committee, Ohio State Senate*

**Natoya Walker Minor**, *Chief of Public Affairs, Office of the Mayor, City of Cleveland*

*Learn how city/county/state officials are thinking about issues related to mobility from poverty and how they view related federal policies.*

**2:45 – 2:55 PM**

**Break**

**2:55 – 3:10 PM**

**Complete program evaluation**

**3:10 – 3:35 PM**

**Final Observations from Expert Faculty**

**3:35 – 4:00 PM**

**Taking Stock: Staff Reflections and Feedback to Guide Next Steps for the Network**

**4:00 PM**

**Adjourn and depart for airport**

## PRIVATE SPONSOR TRAVEL CERTIFICATION FORM

This form must be completed by any private entity offering to provide travel or reimbursement for travel to Senate Members, officers, or employees (Senate Rule 35, clause 2). Each sponsor of a fact-finding trip must sign the completed form. The trip sponsor(s) must provide a copy of the completed form to each invited Senate traveler, who will then forward it to the Ethics Committee with any other required materials. The trip sponsor(s) should **NOT** submit the form directly to the Ethics Committee. Please consult the accompanying instructions for more detailed definitions and other key information.

The Senate Member, officer, or employee **MUST** also provide a copy of this form, along with the appropriate travel authorization and reimbursement form, to the Office of Public Records (OPR), Room 232 of the Hart Building, within thirty (30) days after the travel is completed.

1. Sponsor(s) of the trip (please list all sponsors): \_\_\_\_\_  
The Aspen Institute (Education & Society Program - E&S Program) (see continued response)
2. Description of the trip: Aspen Institute-sponsored convening for senior Congressional staffers  
responsible for various programs and policies that affect mobility from poverty.
3. Dates of travel: August 28-29, 2017
4. Place of travel: Cleveland, OH
5. Name and title of Senate invitees: Please see attached roster
6. I *certify* that the trip fits one of the following categories:  
☒ (A) The sponsor(s) are not registered lobbyists or agents of a foreign principal **and** do not retain or employ registered lobbyists or agents of a foreign principal **and** no lobbyist or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.  
**= OR =**  
☐ (B) The sponsor or sponsors are not registered lobbyists or agents of a foreign principal, but retain or employ one or more registered lobbyists or agents of a foreign principal and the trip meets the requirements of Senate Rule 35.2(a)(2)(A)(i) or (ii) (*see question 9*).
7. ☒ I *certify* that the trip will not be financed in any part by a registered lobbyist or agent of a foreign principal.  
**= AND =**  
☒ I *certify* that the sponsor or sponsors will not accept funds or in-kind contributions earmarked directly or indirectly for the purpose of financing this specific trip from a registered lobbyist or agent of a foreign principal or from a private entity that retains or employs one or more registered lobbyists or agents of a foreign principal.
8. I *certify* that:  
☒ The trip will not in any part be planned, organized, requested, or arranged by a registered lobbyist or agent of a foreign principal except for *de minimis* lobbyist involvement.  
**= AND =**  
☒ The traveler will not be accompanied on the trip by a registered lobbyist or agent of a foreign principal except as provided for by Committee regulations relating to lobbyist accompaniment (*see question 9*).



9. **USE ONLY IF YOU CHECKED QUESTION 6(B)**

I *certify* that if the sponsor or sponsors retain or employ one or more registered lobbyists or agents of a foreign principal, one of the following scenarios applies:

- ☐ (A) The trip is for attendance or participation in a one-day event (exclusive of travel time and one overnight stay) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip.

**OR**

- ☐ (B) The trip is for attendance or participation in a one-day event (exclusive of travel time and two overnight stays) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip (see questions 6 and 10).

**OR**

- ☐ (C) The trip is being sponsored only by an organization or organizations designated under § 501(c)(3) of the Internal Revenue Code of 1986 and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.

10. **USE ONLY IF YOU CHECKED QUESTION 9(B)**

If the trip includes two overnight stays, please explain why the second night is practically required for Senate invitees to participate in the travel:

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11. ☒ An itinerary for the trip is attached to this form. I *certify* that the attached itinerary is a detailed (hour-by-hour), complete, and final itinerary for the trip.

12. Briefly describe the role of each sponsor in organizing and conducting the trip:

The Aspen Institute Education & Society Program facilitates the Aspen Senior Congressional Education Staff Network and organizes convenings to support staffers' professional learning. The Aspen Education & Society Program staff are completely and solely responsible for the retreat's planning and organization.

13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission:

The Aspen Institute is an educational and policy studies non-profit organization whose mission is to foster leadership based on enduring values and provide a non-partisan forum for the exchange of ideas. The E&S Program seeks to provide a neutral forum that encourages off-the-record, (see continued response)

14. Briefly describe each sponsor's prior history of sponsoring congressional trips:

The Aspen Institute has a nearly forty year history of conducting non-partisan educational forums, which often include Members of Congress and staff. The E&S Program has been conducting convenings for Congressional education staff for eleven years.



15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips):

The Aspen Institute holds numerous educational activities, including educational briefings, roundtables, forums, and conferences. The E&S Program works with federal, state and local education leaders to improve K-12 student achievement, particularly for traditionally underserved students.

16. Total Expenses for Each Participant:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses
<input checked="" type="checkbox"/> Good Faith estimate  <input type="checkbox"/> Actual Amounts	\$625.00	\$134.00	\$103.50	\$173.14 (mtg room and incidentals)

17. State whether a) the trip involves an event that is arranged or organized *without regard* to congressional participation or b) the trip involves an event that is arranged or organized *specifically with regard* to congressional participation:

b) Specifically with regard to Congressional staff participation in order to support their learning on recent trends in economic mobility and new evidence on programs designed to increase mobility from poverty.

18. Reason for selecting the location of the event or trip

Meeting in Cleveland will allow participants to observe first-hand some of the challenges related to mobility from poverty and to hear directly from state and local officials. (see continued response)

19. Name and location of hotel or other lodging facility:

Hilton Cleveland Downtown, 100 Lakeside Avenue East, Cleveland, OH 44114

20. Reason(s) for selecting hotel or other lodging facility:

The hotel has sufficient meeting space and lodging to support off-the-record, non-partisan exchanges of ideas and professional learning.

21. Describe how the daily expenses for lodging, meals, and other expenses provided to trip participants compares to the maximum per diem rates for official Federal Government travel:

Rooms are \$134/day, which reflects the per diem limit.

Meals are \$69.00/day or \$51.75 first/last day of travel which reflects the per diem limit.

22. Describe the type and class of transportation being provided. Indicate whether coach, business-class or first class transportation will be provided. If first-class fare is being provided, please explain why first-class travel is necessary:

Coach airfare is provided.

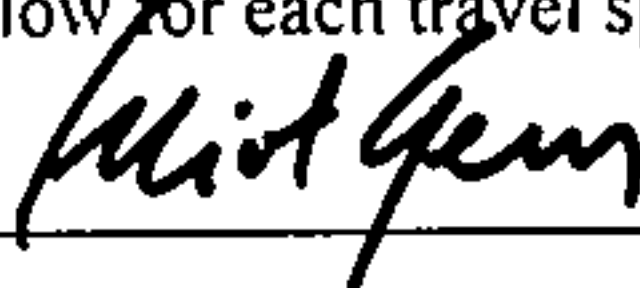
23. ☒ I represent that the travel expenses that will be paid for or reimbursed to Senate invitees do not include expenditures for recreational activities, alcohol, or entertainment (other than entertainment provided to all attendees as an integral part of the event, as permissible under Senate Rule 35).

24. List any entertainment that will be provided to, paid for, or reimbursed to Senate invitees and explain why the entertainment is an integral part of the event:

none

25. I hereby *certify* that the information contained herein is true, complete and correct. (You must include the completed signature block below for each travel sponsor.):

Signature of Travel Sponsor:



Name and Title: Elliot Gerson, Executive Vice President, Policy & Public Programs

Name of Organization: The Aspen Institute

Address: 1 Dupont Circle NW, Suite 700, Washington, DC. 20036

Telephone Number: 202-736-5859

Fax Number: 202-467-0790

E-mail Address: lisa.jones@aspeninst.org

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August 7, 2017

Select Committee on Ethics  
United States Senate  
220 Hart Senate Office Building  
Washington, DC 20510

To Whom It May Concern:

This letter is submitted in response to your request for further information regarding a convening hosted by the Aspen Institute's Education and Society Program occurring August 28, 2017 to August 29, 2017 in Cleveland, Ohio. The Bill & Melinda Gates Foundation is funding the convening through grant funding to support the Education & Society Program.

The foundation is committed to creating greater opportunities for all Americans, largely through the attainment of secondary and postsecondary education. Through an extension of this work, the foundation has made several investments focused on better understanding mobility from poverty in the United States and has made a general operating support grant to the Aspen Institute for this purpose. The foundation did not play a significant role in organizing or planning the conference, including, but not limited to the content, agenda, speakers/experts, or other logistics, and has not been involved in the selection or invitation of participants. All decisions regarding the conference, including the congressional participants invited, were made solely by the Aspen Institute. Foundation funding has not been directly or indirectly earmarked to finance any aspect of this trip and, as defined in the grant agreement, grant funds, may not be earmarked for activities that are considered lobbying under the tax law provisions governing private foundations. Furthermore, the Bill & Melinda Gates Foundation does not retain or employ a registered federal lobbyist or foreign agent.

Regards,



Patrick Murray  
Senior Program Officer  
Bill & Melinda Gates Foundation

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